

Airport Blvd Interchange Modifications

draft

Identification									Qualitative Analysis					Quantitative (Optional)	Response Strategy			Monitoring and Control			
Priority	Risk ID	Status	Category	Phase Function	Date Identifying Phase Affected	Identified Risk (must be specific and measurable)	Additional Supporting Facts About the Risk / Root Causes	Risk Trigger	Probability	Type	Estimated Impact	Evaluated Impact	LINEAR Risk Matrix	NON-LINEAR Risk Matrix		Strategy	Response Actions including advantages and disadvantages	WBS Tasks Affected	Risk Owner / Function	Status Interval or Milestone Check	Changes and Comments: (List dates for all changes and entries made to this log)
(1)	(2)	(4)	(5)		(6)	(7)	(8)	(9)	10	12	13	15	16	17	18	19	20	21	22	23	24
	1	Active			DATE 5/11/2010 PHASE ID'd PS&E UNIT RISK ID'd BY DESIGN AFFECTED PHASE PS&E	Fluctuation in price of Asphalt Concrete, Steel and Concrete	Market forces resulting from material shortages and oil prices are leading to fluctuations in unit prices.	Construction bids are higher than the Engineer's Estimate	M	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	H (70%) VL (10%) VL (10%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Acceptance	Monitor material prices This risk can also affects risk #:		Risk Owner Fred Willeborn Function Design		
	2	Active			DATE 5/11/2010 PHASE ID'd PS&E UNIT RISK ID'd BY DESIGN AFFECTED PHASE CONSTRUCTION	Potential for ADL to exceed DTSC limits, or other hazardous materials encountered during construction	Additional tests during construction may indicate contamination requiring offsite disposal or remediation, under controlled conditions. Potential impact to cost and schedule if found during construction	Testing during construction is required for conclusive recommendations	L	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) L (30%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Acceptance	Complete hazardous testing program & establish risk factors based on findings. This risk can also affects risk #:	WBS 235 Mitigate Environmental Impacts and Clean-up Hazardous Waste	Risk Owner Chris Wilson Function ENVIRONMENTAL		
	3	Active			DATE 1/2/2010 PHASE ID'd PA&ED UNIT RISK ID'd BY DESIGN AFFECTED PHASE PS&E	USFWS approval of amendment to the BO required for PA&ED	Right away activities can not be started until the Final ED is signed /PA&ED phase is completed, which may impact RW Cert and RTL dates.	Signed approval of the amendment to the BO not received prior to completion of the Final ED	L	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) M (50%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Mitigation	SCA and Caltrans have had several meetings with the USFWS to resolve outstanding issues to expedite the issuance of the signed BO for the parent HOV project This risk can also affects risk #:	WBS 180 Prepare and Approve Project Report and Final Environmental Document	Risk Owner Valerie Hausinkveld Function ENVIRONMENTAL		
	4	Active			DATE 1/2/2010 PHASE ID'd PA&ED UNIT RISK ID'd BY DESIGN AFFECTED PHASE CONSTRUCTION	Delay in utility relocations.	Long lead times required for relocation of PG&E overhead lines and casing extensions.	Utility relocation cannot commence prior to PA&ED. May impact construction schedule.	L	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) H (70%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Mitigation	Provide advance notice to utility companies of future construction schedule and relocation needs This risk can also affects risk #:	WBS 200 Coordinate Utilities	Risk Owner Edgar Valez Function RIGHT OF WAY		
	5	Active			DATE 1/2/2010 PHASE ID'd PA&ED UNIT RISK ID'd BY DESIGN AFFECTED PHASE PS&E	Delay in PA&ED will delay start of ROW activities and issuance of ROW certification.	Right away activities can not be started until the Final ED is signed /PA&ED phase is completed, which may impact RW Cert and RTL dates.	Delay in PA&ED	L	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) M (50%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Mitigation	Proceed with advance ROW activities to the extent possible. This risk can also affects risk #:	WBS 220 Perform Right of Way Engineering	Risk Owner Melanie Hunt Function RIGHT OF WAY		
	6	Active			DATE 10/2/2008 PHASE ID'd PA&ED UNIT RISK ID'd BY DESIGN AFFECTED PHASE CONSTRUCTION	Funding Shortfall	Available funding may not cover entire project	CTC approval of the bid savings fro CMA projects	H	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	VL (10%) H (70%) M (50%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Mitigation	Develop & maintain cost estimate. Develop phasing strategy This risk can also affects risk #:	WBS 165 Perform Environmental Studies and Prepare Draft Environmental Document (DED)	Risk Owner John Mallalnd Function DESIGN		
	7	Active			DATE 10/2/2009 PHASE ID'd PA&ED UNIT RISK ID'd BY RIGHT OF WAY AFFECTED PHASE PS&E	Sub-surface and rock on which structures are to be constructed. Design based on known soil conditions	Un expected foundation conditions, poor soil and groundwater conditions that were not revealed during the sub surface investigations	During pile drivign operations	L	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) M (50%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Acceptance	 This risk can also affects risk #:		Risk Owner Ray Nozzari Function CONSTRUCTION		
	8	Active			DATE 10/2/2008 PHASE ID'd PA&ED UNIT RISK ID'd BY CONSTRUCTION AFFECTED PHASE PS&E	40-Year Pavement Structural Section	Portions of the project qualify for 40-year pavement structural section. However, the SHOPP Rehabilitation project (to be combined with this project) considers a 20-year design and does not have sufficient funds for this.	Materials Report will provide recommendations for pavement structural section.	L	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) M (50%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Acceptance	Obtain recommendations from Materials Branch This risk can also affects risk #:	WBS 230 Prepare Draft PS&E	Risk Owner Brian Barber Function DESIGN		
	9	Active			DATE 10/2/2008 PHASE ID'd PA&ED UNIT RISK ID'd BY DESIGN AFFECTED PHASE PS&E	Tree removal and mitigation	Due to limited ROW available, tree mitigation may require identification of off-site areas for replanting		M	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	L (30%) L (30%) L (30%) L (30%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Acceptance	Discuss requirements with Landscaping Branch. Identify potential open-space areas. This risk can also affects risk #:	WBS 180 Prepare and Approve Project Report and Final Environmental Document	Risk Owner Guy Preston Function		
	10	Reliefed			DATE 1/2/2009 PHASE ID'd PA&ED UNIT RISK ID'd BY DESIGN AFFECTED PHASE PA&ED	Additional alternatives may be developed for the Fulton Road/Airport Boulevard Interchange Complex	Scope and footprint of Interchange alternatives may fall outside of APE and environmental studies, requiring environmental re-evaluation	Planning initiates additional interchange alternatives	M	Cost (\$) Time (X) Scope (S) Quality (Q)	DOLLAR AMT NO. OF DAYS TO GO TO REFER TO GO TO REFER	M (50%) H (70%) H (70%) M (50%)	 Probability H M L VL VL L M H Impact	 Probability H M L VL VL L M H VH Impact		Acceptance	Coordinate with Planning This risk can also affects risk #:	WBS 165 Perform Environmental Studies and Prepare Draft Environmental Document (DED)	Risk Owner Fred Willeborn Function DESIGN		

ATTACHMENT J

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										Type	Estimated Impact	Evaluated Impact									
(1)	(2)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(12)	(13)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	
11				DATE	Delay in Construction	Utility Coordination must be performed before new portions can be built in our facility	Utility conflict during construction		Cost (\$)	DOLLAR AMT	M (50%)				Acceptance	Identified all utility during the design phase. Coordinate with Utility Companies	WBS 200 Coordinate Utilities	Risk Owner			
				PHASE ID'd																	
				PS&E																	
				UNIT RISK ID'd BY																	
				DESIGN																	
AFFECTED PHASE	CONSTRUCTION	CONSTRUCTION	Quality (Q)	TO GO TO REFER	L (30%)	TO GO TO REFER															
12				DATE	Asphalt Overrun	AC overruns are anticipated due to grade variances.	During paving operations	M	Cost (\$)	DOLLAR AMT					Acceptance	Make sure surveys info used in during the design phase are accurate	WBS 230 Prepare Draft PS&E	Risk Owner			
				PHASE ID'd																	
				PS&E																	
				UNIT RISK ID'd BY																	
				DESIGN																	
AFFECTED PHASE	PS&E	CONSTRUCTION	Quality (Q)	TO GO TO REFER		TO GO TO REFER															
13				DATE	COZEOP funding overrun	Complex Traffic Handling and staging modifications may need additional COZEOP	During construction and detours	M	Cost (\$)	DOLLAR AMT					Acceptance	Make sure enough funds are allocated for COZEOP. Need to coordinate proposed staging and detours with Construction and Local agencies during the early stage	WBS 230 Prepare Draft PS&E	Risk Owner			
				PHASE ID'd																	
				PS&E																	
				UNIT RISK ID'd BY																	
				CONSTRUCTION																	
AFFECTED PHASE	CONSTRUCTION	CONSTRUCTION	Quality (Q)	TO GO TO REFER		TO GO TO REFER															
14				DATE	Extra cost due to public claims	Distressed shoulders that are not repaired before receiving staged traffic loads deteriorate very rapidly and Caltrans ended up getting claims from the public for vehicle damages	During construction	M	Cost (\$)	DOLLAR AMT					Mitigation	Take actions as the situations arises	WBS 230 Prepare Draft PS&E	Risk Owner			
				PHASE ID'd																	
				PS&E																	
				UNIT RISK ID'd BY																	
				CONSTRUCTION																	
AFFECTED PHASE	CONSTRUCTION	CONSTRUCTION	Quality (Q)	TO GO TO REFER		TO GO TO REFER															
15				DATE	Swallow / bird nesting under bridges or trees	During the nesting season (Feb to September) active nesting can delay construction activities		H	Cost (\$)	DOLLAR AMT					Mitigation	If possible, cut the trees prior to February 15 (prior to the nesting season).	WBS 230 Prepare Draft PS&E	Risk Owner			
				PHASE ID'd																	
				PS&E																	
				UNIT RISK ID'd BY																	
				DESIGN																	
AFFECTED PHASE	CONSTRUCTION	CONSTRUCTION	Quality (Q)	TO GO TO REFER		TO GO TO REFER															
16				DATE	Unbalance earthwork during construction	Unexpected conditions during grading operations	During construction	M	Cost (\$)	DOLLAR AMT					Acceptance			Risk Owner			
				PHASE ID'd																	
				PS&E																	
				UNIT RISK ID'd BY																	
				DESIGN																	
AFFECTED PHASE	CONSTRUCTION	CONSTRUCTION	Quality (Q)	TO GO TO REFER		TO GO TO REFER															